

S/N 09/887781

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	ANN et al.	Examiner:	Tan D. NGUYEN
Serial No.:	09/887781	Group Art Unit:	3629
Filed:	June 22, 2001	Docket No.:	20116.0024US01
Confirmation No.:	8707	Client Docket No.:	END920000180US1
Title:	METHOD AND SYSTEM USING AN ENTERPRISE FRAMEWORK		

CERTIFICATE OF TRANSMISSION

I hereby certify that the papers listed below are being transmitted by EFS Web to: Mail Stop AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on February 20, 2008.

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AMENDMENT AND RESPONSE UNDER 37 CFR §1.111

Mail Stop: AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

In response to the Office Action of November 19, 2007, please amend the above-referenced application as follows:

Amendments to the Specification begin on page 2 of this paper.

Amendments to the Claims are reflected in the listing of claims that begins on page 3 of this paper.

Remarks begin on page 15 of this paper.

Amendments to the Specification

Please replace the paragraph on page 9, lines 15-20 with the following paragraph:

The enterprise architecture 70 may be stored in any convenient tool or repository. While in some cases the architecture may exist solely in a printed form, the printed form is difficult to modify. Consequently, the enterprise architecture of the present invention is often stored in a data processing system in the form of a ~~Lotus Notes~~ LOTUS NOTES™ database which can be easily accessed and modified. Each section described below may be implemented as a database, such as a relational or hierarchical database, or as a knowledge-based system, or the like. For purposes of the specification and claims, a database is intended to encompass persistent storage of data in the appropriate computer language and operating system. ~~To assist in the access and modification, an~~ An optional front-end navigator may be provided which allows for selected sections of the database to be accessed and modified manipulated by way of a browser or some other user terminal application via the Internet, intranet or some other network. Access to various sections, including databases, records, pages, documents, fields, and so forth and parts thereof may be controlled by way of access control lists (ACLs), such as is implemented in LOTUS NOTES™ and DOMINO™, or the like. Also, these database components may be distributed as database instances among several sites in support of distributed development and market engagement teams, and synchronized using, for example, NOTES™ replication techniques to maintain consistency among the various instances. The elements may also be managed using a collaboration space, such as the LOTUS QUICKPLACE™.

Amendments to the Claims:

This listing of claims will replace all prior versions and listings of claims in the application.

Listing of Claims:

1. (Currently Amended) ~~An enterprise system for modeling the operation of a business enterprise and its information processing, the system comprising:~~

~~a first architectural portion integrated in a database, the first architectural portion comprising business operations and objectives of the business enterprise;~~

~~a second architectural portion integrated in the database, the second architectural portion comprising an information technology processing system which the business uses to conduct its business; and~~

~~whereby changes to one of the architectural portions are assessed for impact on the other of the architectural portions prior to implementation.~~

An enterprise architecture model of a business and the business's information technology, the enterprise architecture model stored in, manipulated by and implemented in a data processing system, comprising:

a business architecture having a plurality of business components within a database wherein each business component has an operational linkage with at least one other business component;

an information technology architecture comprising at least one application software component that processes at least business information data from the business architecture, and a plurality of information technology components within the database wherein each information technology component has an operational linkage with at least one other information technology component;

a linkage assessment tool that evaluates an impact on one of the architectures resulting from a change in at least one component in the other of the architectures; and

an impact assessment work product that outputs the results of the linkage assessment component.

2. (Currently Amended) The enterprise system architecture model of Claim 1 further comprising a function of governance component which allows for the objectives of the business to be included in the database and reflected in the enterprise system comprising an architecture management framework in the database, at least one architecture management process in the database, evaluation criterion and the linkage assessment tool.

3. (Cancelled)

4. (Currently Amended) The enterprise system for modeling the operation of a business including the elements architecture model of Claim 2, further comprising a software navigator for using and modifying the architectural portions connected to the data processing system, the navigator to access at least the database, the evaluation criterion, the linkage assessment tool, and the impact assessment work product tool.

5. (Cancelled)

6. (Currently Amended) The enterprise system for modeling the operation of a business enterprise and its information technology processing architecture model of Claim 1, further comprising wherein the a strategic direction component, a capabilities component, and a principles component of the business enterprise are , the strategic direction component, the capabilities component and the principles component integrated with the database;

an operational linkage between at least one of the strategic direction component, the capabilities component, and the principles component with at least one information technology component; and

an operational linkage between at least one of the strategic direction component, the capabilities component, and the principles component with at least one business component.

7-8. (Cancelled).

9. (Currently Amended) A computerized method of ~~coordinating~~ integrating a business architecture for an organization with [[its]] an information technology architecture, the business architecture and the information technology architecture stored as data in a computer processing system, to provide a single structure for considering the effects of changes in the organization, the steps of the computerized method comprising:

~~setting forth the storing an organization direction component as data in the computer processing system, the storing an organization capabilities component as data in the computer processing system, and the storing an organization principles component of the organization as data in the computer processing system;~~

~~organizing storing the business architecture for the organization in a database as a plurality of business components comprising a including its business information component and a business processes component;~~

~~and coupling operationally linking the business processes component to the organization capabilities component; of the organization, the business architecture stored in a database;~~

~~organizing storing the information technology architecture of the organization in the database, the information technology architecture further comprising including its application software and data; in the database and coupling~~

~~operationally linking the application software to the business processes component of the business architecture and to the organization principles component of the organization; and coupling~~

~~operationally linking the data to the business information component; whereby changes to the~~

~~assessing the impact upon the business architecture resulting from changes of the are assessed for impact on the information technology architecture of the organization prior to implementation and;~~

~~assessing the impact upon the changes in the business architecture are assessed for impact on the information technology architecture of the organization resulting from changes to the business architecture prior to implementation;~~

outputting an impact assessment work product of the impact on each respective architecture.

10. (Currently Amended) [[A]] The computerized method of coordinating the operation of an organization including the steps of Claim 9 wherein the method further includes the step of further comprising providing a front-end navigator to access data and the database to operationally link the data with components of the business architecture and the components of the information technology architecture for ease in accessing information within the architectures, and allow an individual to access the impact assessment work product.

11-12. (Cancelled)

13. (Currently Amended) [[A]] The computerized method of coordinating the operation of an organization including the steps of Claim 9 wherein the business architecture includes further comprising:

storing a business structure component in the database, storing a business organization units component in the database, storing a business roles and responsibilities component in the database, [[and]] storing a business features and functions component in the database, storing a business events component stored in the database;

operationally linking the business structure component, the business organization units component, the business roles and responsibilities component, the business features and functions component, and the business events component to the as well as events which influence the business processes component;

assessing the impact upon the business architecture resulting from changes in one or more of the business structure component, the business organization units component, the business roles and responsibilities component, the business features and functions component, and the business event component.

14. (Currently Amended) [[A]] ~~The computerized method of coordinating the operation of an organization including the steps of Claim 9 wherein the business architecture includes further comprising:~~

~~storing one or more reference information technology architectures, storing a current information technology environment component, storing an enterprise technology framework component in the information technology architecture;~~

~~operationally linking the one or more reference information technology architectures and the current information technology environment component to the enterprise technology framework component and the application software;~~

~~assessing the impact of changes in the one or more reference information technology architectures and the current information technology environment component to the includes reference architectures and current IT environment which influence an enterprise technology framework component and the application software.~~

15. (Currently Amended) [[A]] ~~The computerized method of coordinating the operation of an organization including the steps of Claim 9 wherein the business architecture includes further comprising:~~

~~wherein the architectures are prepared in a generic format and then the method includes the step of customizing the one or more of the reference information technology architectures to apply to a particular instance.~~

16. (Currently Amended) [[A]] ~~The computerized method of coordinating the operation of an organization including the steps of Claim 15 further comprising: wherein the step of customizing the one or more of the reference information technology to a particular instance includes the step of customizing the architectures to apply to a particular industry.~~

17. (Currently Amended) [[A]] ~~The computerized method of coordinating the operation of an organization including the steps of~~ Claim 15 further comprising: wherein the step of customizing the one or more of the reference information technology wherein the step of customizing the architectures to a particular instance includes the step of customizing the architectures to apply to a particular organization.

18. (Currently Amended) The enterprise ~~system~~ architecture model of a business and the business's information technology of Claim [[2]] 6, further comprising:

an organization section integrated in the database, the organization section comprising describing an organization a business structure component of the business enterprise; and

an information technology organization structure component of the information technology processing system, architecture integrated in the database;

an operational linkage between the business structure component and the information technology organization structure component;

a business roles and responsibilities component [[of]] integrated into the database as part of the business architecture, the business roles and responsibilities component further comprising a reference to one or more members of the business enterprise;,

an operational linkage between the business roles and responsibilities component with an inventory stored in the database of skills, education and training of the one or more members of the business; enterprise, and the,

a policies and practices component of the business enterprise and the organization structures integrated in the database; and

an operational linkage between the policies and practices component with at least one business component.

19. (Currently Amended) The enterprise ~~system~~ architecture model of a business and the business's information technology of Claim 18, further comprising:

a business information technology alignment section component integrated in the database;

an operational linkage of the business information technology alignment component with the strategic direction component; and

an operational linkage of the business information technology alignment component with the capabilities component.

20. (Currently Amended) The enterprise ~~system~~ architecture model of a business and the business's information technology of Claim 19, further comprising an enterprise ~~section component~~ integrated in the database; and

an operational linkage of the enterprise component with the ~~describing~~ capabilities component of the business operations and the information technology processing system.

21. (Currently Amended) The enterprise ~~system~~ architecture model of a business and the business's information technology of Claim 20, further comprising:

a plans ~~section~~ component integrated in the database ~~describing, the plans component having~~ business plans, information technology plans, a listing of projects, transitions, and organization and change plans; and

an operational linkage of the plans component with at least one information technology component and at least one business component ~~describing the business operations and the information technology processing system.~~

22. (Currently Amended) The enterprise ~~system~~ architecture model of a business and the business's information technology of Claim 21, further comprising:

a user groups ~~section~~ component integrated in the database describing at least one user group; and

and how the at least one user group affects the business enterprise an operational linkage of the user groups component with at least one information technology component and at least one business component.

23. (Currently Amended) The enterprise system architecture model of a business and the business's information technology of Claim 22, further comprising:

_____ a products section component as an information technology component integrated in the database;

_____ , the products sections coupled to an architectural building block section component as one of the information technology components integrated in the database;
and

_____ an operational linkage between the products component and the architectural building block component.

24. (Currently Amended) The enterprise system of Claim 23, further comprising:

_____ a standards section component integrated in the database; and

_____ an operational linkage between [[,]] the standards section coupled to and the architectural building block section component.

25. (Currently Amended) The enterprise system architecture model of a business and the business's information technology of Claim 24, further comprising:

_____ a principles section integrated in the database, an operational linkage between the principles component section coupled to the enterprise section, with the architectural building blocks, component; and

_____ an operational linkage between the principles component and the business information technology alignment section describing how each of a plurality of principles applies to and is used in the business architecture and the information technology architecture.

26. (Currently Amended) The enterprise system architecture model of a business and the business's information technology of Claim 25, further comprising a business section information component integrated in the database, the business section information component having describing details of the at least one business areas and units, unit plans, business locations, processes and activities and needs area;

at least one business unit component;
at least one business unit plan component;
at least one business location component describing processes, activities, and
needs of least one business location; and
operational linkages between the business information component and the at least
one business unit component, the at least one business unit plan component, and the at
least one business location component.

27. (Currently Amended) The enterprise system architecture model of a business and the
business's information technology of Claim 26, further comprising a reference
architecture section component as one of the information technology components
integrated in the database describing reference architectures and models business plans;
an enterprise technology framework component integrated in the database as one
of the information technology components; and
an operational linkage between the reference architecture component and the
enterprise technology framework component.

28. (Canceled)

29. (Currently Amended) The enterprise system architecture model of a business and the
business's information technology of Claim [[28]] 27, further comprising a delivery
environment component;
a data storage system component describing a data storage system of the
business's information technology;
a data implementation system component describing a data implementation
system of the business's information technology;
a products component integrated in the database as one of the information
technology components;
defined by the application software;
a plurality of operational linkages among the delivery environment component, at
least one application software component, the data storage system component,

the data implementation systems system component, and the at least one business location component with the products component and the standards component to the business locations using products and standards described in the products sections and the standards section, respectively.

30. (Currently Amended) An enterprise system for modeling and integrating the operation of a business enterprise and its an information technology processing system, the enterprise system implemented in a data processing system and comprising:

a first business architecture portion integrated in a database of the data processing system, the first business architecture portion comprising a description of the business operations and objectives of the business enterprise;

a second information technology architecture portion integrated in the database of the data processing system, the second information technology architecture portion comprising a description of the [[an]]information technology processing system having and a description of application software to process business information which the business enterprise uses to conduct its business;

a governance function component integrated in the database of the data processing system, the governance function component comprising the objectives of the business enterprise system;

a navigator connected to the data processing system for using and modifying the first business and the second information technology architecture portions;

a strategic direction, capabilities, and principles component of the business enterprise are integrated with the database of the data processing system;

an organization section component integrated in the database of the data processing system, the organization component describing having a description of an organization structure of the business enterprise, an organization structure of the information technology processing system, roles and responsibilities of members of the business enterprise, inventory of skills, education and training of members of the business enterprise, and the policies and practices of the business enterprise, and [[the]] organization structures;

a business information technology alignment section component integrated in the database of the data processing system, the business information technology alignment component describing having a description of strategies for [[the]] business operations and the information technology processing system;

an enterprise section component integrated in the database of the data processing system, the enterprise component describing having a description of capabilities of the business operations and the information technology processing system;

a plans section component integrated in the database of the data processing system, the plans component describing having a description of business plans, information technology plans, projects, transitions, and organization and change plans;

a users groups section component integrated in the database of the data processing system, the users group component describing having a description of at least one user group and how the at least one user group affects the business enterprise;

a products section component integrated in the database and coupled operationally linked to an architectural building block-section component integrated in the database;

a standards section component integrated in the database and operationally coupled to the architectural building block section component;

a principles section component integrated in the database, the principles section component operationally coupled to the an enterprise-section component integrated in the database, the architectural building blocks component integrated in the database, and the a business information technology alignment section component integrated in the database, the principles component describing having a description of how each of a plurality of principles applies and is to be used in operations of the business enterprise and information technology processing system;

a business section component integrated in the database, the business section component describing having a description of details of the business areas and units, unit plans, business locations, processes and activities and needs of operations of the business enterprise and information technology processing system;

a reference architecture section component integrated in the database, the reference architecture describing having reference architectures and models of reference

business plans that could be customized for the business enterprise and information technology processing system; and

a business locations component listing business locations of the business enterprise and information technology processing system;

a delivery environment component integrated in the database described by operational linkages to defined by the application software, data storage systems, data implementation systems to the within the business locations component, and using products and standards selected by operational linkages to using products and standards described in the products sections component and the standards section component, respectively,

a plurality of operational linkages among the components integrated in the database;

a linkage assessment tool that evaluates the operational linkages between the components integrated in the database, the linkage assessment tool assessing the impact of whereby changes to one of the architecture portions are assessed for impact components integrated in the database resulting from changes on the other of the architecture portions at least one other component integrated in the database and outputs an impact assessment work product. prior to implementation.

REMARKS

Applicants request reconsideration of the claims in view of the amendments and the remarks provided. Applicants amend the pending claims and in doing so, have not added new matter. Support in the originally filed specification for the amendments to the claims is given on page 2, lines 5-7 and in Figures 4 and 5. Applicants cancel claim 28. Claims 1, 2, 4, 6, 9, 10, 13-27, and 29-30 are pending.

The Rejection of the claims under 35 U.S.C. §101

Applicants traverse the rejection of the pending claims as being directed to non-statutory subject matter. Applicants amend the claims to now provide for a plurality of components integrated in a database as a business architecture and an information technology architecture in a data processing system, and a plurality of operational linkages between the components whereby a linkage assessment tool generates and outputs a work product tool evaluating the impact of changes to at least one of the component on either or both of the architectures. Applicants now claim and stress that the enterprise architecture model of claim 1 and its dependent claims, and the enterprise system of claim 30 are embodied in a computer data processing system as a plurality of components and operational linkages. The methods of claim 9 and its dependent claims are computer-implemented methods and processes. The enterprise architecture model of claim 1, the enterprise system of claim 30, and the method of claim 9, moreover, all output a tangible result: an impact assessment work product. Applicants thus request the Examiner withdraw the rejection of the claims under 35 U.S.C. §101 because computer processing systems and computer-implemented methods are statutory.

The Rejection of the claims under 35 U.S.C. §112, second paragraph

Applicants request the rejection of claims 1-2, 4-6, 18-27, 29, 9-10 and 13-17 be withdrawn because the pronoun “its” is removed from claims and because Applicants deleted the language regarding how the “objectives” are carried out in claims 2 and 9.

Objectionable language in claims 13-17 of “the operation of an organization” is deleted and the claims are rephrased to provide for antecedent bases.

The rejection of claims 15-17 is now moot because of the phrase “the architectures are prepared” is deleted from the claims.

Applicants thus request the Examiner withdraw the rejections of claims 1-2, 4, 6, 18-27, 29, 9-10 and 13-27 under 35 U.S.C. §112, second paragraph and allow the claims.

The Rejection under 35 U.S.C. §103

Applicants traverse the rejection of claims 1-2, 4, 16, 18-27 29, 29, 9-10, and 13-17 as being obvious over Cornelius ‘234. Cornelius ‘234 does not teach a computer-implemented method as in claim 9 and its dependent claims. Cornelius ‘234 also does not teach an enterprise architecture model, as in claim 1, and an enterprise system, as in claim 30, having a plurality of components integrated in a database as a business architecture and an information technology architecture in a data processing system, and a plurality of operational linkages between the components whereby a linkage assessment tool generates and outputs a work product tool evaluating the impact of changes to at least one of the component on either or both of the architectures. Applicants again point out and now distinctly claim a computer-implemented method and a model and a system that are stored and manipulated in a data processing system.

Cornelius ‘234 refers to and discusses at length aspects of the Integrated Development Environment Architecture (IDEA) and the Business Integration Methodology (BIM), *see* column 35, lines 16 et seq. and column 36, line 45 et seq. In fact, Cornelius ‘234 at column 36, lines 65-68 state that “[i]n accordance with the IDEA Model, the following management teams with responsibilities for the key management functions are defined as:” Thus, Cornelius ‘234 admits at the onset that the complex architecture and methodology described in over 100 pages of the patent therein are implemented by people; thus, the steps and concepts described by Cornelius ‘234 are not an enterprise architecture model, or an enterprise system, or a computerized methodology implemented in a data processing system, as claimed by Applicants.

Implementing a computerized process and an architecture model and system in a data processing system, moreover, is not obvious in view of Cornelius ‘234. On its face, Cornelius ‘234 explains that the IDEA and the BIM are complex human processes requiring extensive team management of at least 20-50 or more people, and a process

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Response to Office Action dated 11/19/2007

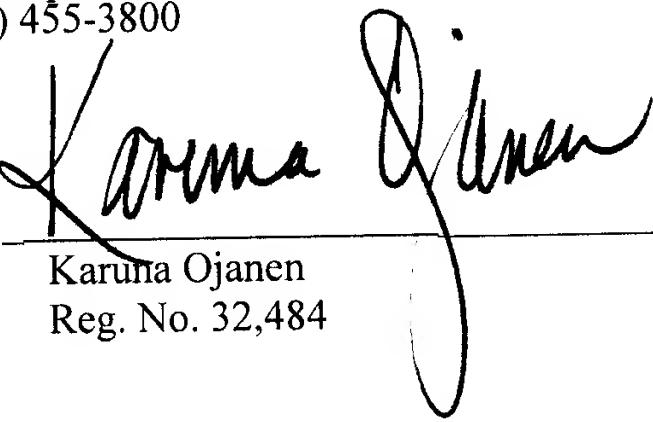
commonly requiring between 400 and 800 days, *see* Cornelius '234 at column 36, lines 8-20. Applicants further assert that it would not only be an understatement but would also be absurd to suggest that implementing IDEA and BIM in a data processing system and a computerized methodology would render Applicants' claimed enterprise model and system in a data processing system and its computerized method as being obvious. Those statements of Cornelius '234 referenced above are *ipso facto* a statement of a long-felt need in the industry. Applicants respectfully request the Examiner withdraw the rejection of the pending claims as being obvious in view of Cornelius '234.

Applicants request the Examiner review the amended claims and allow the claims. The Examiner is further invited to telephone the Attorney Karuna Ojanen, Reg. No. 32484 at 612.455.3836 if there are minor issues that can be resolved to issue this case.

Applicants authorize the Commissioner to charge payment of any additional filing fees required under 37 CFR 1.116 and any patent application processing fees under 37 CFR 1.117 associated with this communication or credit any overpayment to Deposit Account 09-0457.

Respectfully submitted,

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By: 

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